

Copy Cataloging in the Serial Record Division

Background

In spring 2000, cataloging technicians began performing copy cataloging on CONSER-authenticated records at full and core levels mostly in English languages. In October 2004, the Serial Record Division began a significant change in its approach to copy cataloging by expanding the scope to include all OCLC copy. The implementation of this change represents a significant shift in the Division's expectations both in what is to be considered copy cataloging and in how copy cataloging is to be performed. Prior to this time, only primarily English-language materials with CONSER copy were in scope for the copy cataloging workstream; other CONSER titles remained in the regular cataloging workstreams with the expectation that the language catalogers would complete the title "whole serial" according to the procedures for copy cataloging.

With a new emphasis on more whole serial cataloging and with the Division's desire to design workstreams for copy cataloging which more closely resemble those in comparable research institutions the definition of copy has been re-defined to encompass all Roman-alphabet titles with copy in OCLC.¹ As new work comes into the Division through distribution, it is searched for OCLC copy according to the procedures in M6; and materials with copy are added directly into the copy cataloging workstream.

Philosophy and performance of copy cataloging

Concurrent with the implementation of the newly defined copy cataloging workstream is a new definition of the type of cataloging LC staff will perform on OCLC copy. Historically, LC has usually authenticated OCLC copy at the same level of cataloging as the level done for original cataloging, i.e., "lc" in the 042 field. This level of authentication requires strict adherence to the full-level standard for serials in the CONSER program. It also requires more scrutiny of all bibliographic elements present in the record that is to be authenticated. In essence, the LC cataloger must "recatalog" the item in hand to authenticate the record at "lc."²

The Library recognizes that the majority of these records have been created by professional colleagues elsewhere, with training in cataloging. This practice of "recataloging" every item received, thus, becomes an extraordinarily expensive and unnecessary exercise. In order to cope with the problems posed by shortages in cataloging staffing and resources combined with

¹Copy from other, non-OCLC, databases, may also be in scope for copy cataloging workstreams in the immediate future.

²Exception is Canadian records coded "nlc", whose records are largely accepted without change and still authenticated at "lc." This procedure will not supercede this practice.

growing acquisitions in electronic serials and the escalating cost of cataloging, the Division will no longer authenticate any copy at the fuller “lc” level, nor will these records be examined in depth to see if they “qualify” for authentication at the fuller level. Effective October 2004, the 042 code “lccopycat” is used for all non-authenticated copy and existing codes such as “lcd” in all previously authenticated CONSER copy are retained. (Records authenticated by the National Library of Canada (code “nlc” in 042) will continue to be accepted without change and authenticated at “lc” as has been past practice.)

LC cataloging staff are encouraged to create authority records citing the OCLC record when necessary in order to avoid acceptance of records at “msc” in the ILS. Records coded “msc” should be changed to “lcd” after authority work is complete. Authority records are also required for authentication at “lccopycat.” Never pair the code “lccopycat” with “msc” nor change “msc” records to “lccopycat” after completing authority work. Following the same concept, if all necessary authority headings for an “msc” record can be created at a later date than at the time of the initial cataloging, change the code to “lcd.” This may also occasionally apply to priority 4's which have full copy.

The “lccopycat” code signifies that the Library of Congress has used a non-CONSER organization’s record as the basis for its cataloging; additionally, all name and LCSH subject headings have been checked against the relevant authority files. The presence of this code also indicates that these externally provided cataloging records have been accepted with minimal change, if any, and that because of this, there is no guarantee that the record reflects LC documentation and practice. The philosophy behind this change seeks not only to address critical budgetary shortages and unacceptably high backlogs, but also to recognize that the cataloging done outside of LC and found in OCLC and RLIN has usually been prepared or reviewed by professional catalogers.

In 2001, as an aid to arrearage reduction in the monograph teams and with the strong support of the Director for Cataloging, CPSO developed the *Interim Options for Processing Backlog of Materials*. These guidelines are intended to save staff time by employing the stated objective of copy cataloging as “do no harm.” This approach emphasizes ensuring that the description reflects the item such that an observer of the record can determine whether it fits the item he has in hand; and, fits the access point headings within the relevant authority files. It is the intention of the Serial Record Division to adopt as much as possible these guidelines for copy cataloging while still meeting the minimum standards applied within the CONSER Program.

LC cataloging staff will not perform further verification on copy cataloging work, such as addressing the appropriateness of pre-existing subject headings. LC cataloging staff will only correct obvious typos and egregiously misleading errors, i.e., 1) they result in seriously misleading description (e.g., someone might regard the item to be a different one were a change

not made); and/or 2) they might result in seriously misleading access (e.g., the item is classified under a number for a Austria when the item is about Australia).

LC staff will not correct notes, in general, nor reformat notes to match LC's stylistical preferences for original cataloging; however, they will edit and/or add to existing notes as bibliographic data elements change, e.g. change in publisher or issuing body. Since the addition of a "description based on" note would require redescription, LC staff will not add this note, when lacking in a copy cataloging record, to "lccopycat" authenticated records; however, LC staff will add "latest issue consulted" notes.

Other significant changes in the approach to copy cataloging are philosophical in nature. The Division is placing a greater emphasis on identification of the piece while de-emphasizing description of the individual pieces and uniformity of the information in the bibliographic record. When considering adding, editing, or changing information in a record, consider whether the information to be added is more of a descriptive or identification nature. Do not be concerned with the former. If the information will help someone properly retrieve or identify the work, this is important to get into the record, especially if **not adding the information could prevent proper identification**. For example, notes about the number of volumes within each issue are not helpful for identification and should no longer be added when missing from records. Similarly missing physical extent (300) and frequency (310) fields rarely assist patrons in correctly identifying a bibliographic record. On the other hand, publisher change notes or notes describing alternative numbering schema are usually helpful for identification purposes.

Another philosophical difference in the new copy cataloging policy centers around validity of existing data in records, especially in unauthenticated records, which cannot be verified by the piece(s) in hand. LC catalogers will assume that information which cannot be factually substantiated is correct. Only data that can be proven to be factually incorrect will be deleted from or corrected in records. Additionally, LC catalogers will correct obvious typos but will not rearrange, reword, or change existing data to conform with stylistic preferences used in original cataloging. This new policy of accepting unsubstantiated data, may sometimes mean authenticating records containing information that seems strange; however, under the new philosophy we are adopting, it is considered more harmful to delete information—which may in fact be correct—than to leave in such data which cannot be proven to be wrong.

Division of Copy Cataloging Work

All cataloging staff will use these procedures when working with copy. Technicians should perform copy cataloging on Roman-alphabet titles; however, they should refer to professional catalogers titles with complicated problems they cannot resolve. Professional catalogers should perform copy cataloging on titles in non-Roman alphabets, when technician skills in those languages are lacking, and also on out-of-scope or problem titles which require more in-depth cataloging knowledge for authentication. Some such problem titles are identified in these

procedures. These procedures will instruct all cataloging staff how to catalog and authenticate materials with OCLC copy according to the Division's revised policies regarding copy cataloging.

Definition of copy cataloging

Copy cataloging is all non-original cataloging. Acceptable copy includes OCLC and may be expanded to include other databases in the future. Mono-to-serial, cloning, and pattern cataloging are also considered copy cataloging. With few exceptions, copy cataloging is completed whole serial.³

Authenticated and Unauthenticated Copy Cataloging

There are two main types of copy: CONSER copy and unauthenticated copy. Within these two main types, there are some sub-category types as well. The procedures for cataloging these materials will differ slightly according to the type of copy and sometimes according to the sub-category as will be explained later in these procedures.

The codes LC catalogers will use for OCLC copy are nlc, lcd, msc, and lccopycat. With the implementation of these procedures, the code "lc" will be used only for original cataloging. CONSER-authenticated records have a variable field "042" present in the record. Those with **nsdp** or **nsdp** in combination with another code in the 042 field and lacking subject headings should not be placed on the copy cataloging shelves but, rather, should go straight to the subject shelves (see M25.0 for more information). For the purposes of copy cataloging, DLC mono-to-serial packages should also be considered CONSER copy, even when no serial record exists at all.

Another important distinction between CONSER records and unauthenticated records is the authoritativeness (e.g. presence of an authority record) of headings— both descriptive and subject. OCLC contains both bibliographic records and authority records which are kept in two separate databases: the bibliographic file and the authority file. The bibliographic database contains MARC bibliographic records for serials and monographs created by the Library of Congress and other OCLC members. The authority file is a database of name, title, and subject authority records created by the Library of Congress and participants specially trained in how to create these records (also called NACO/SACO participants). The cataloger uses both files when copy cataloging materials. Unauthenticated records lack an 042 field in them. For the purposes of copy cataloging, another institution's monograph record in OCLC for an item which is being

³Titles with NSDP copy lacking subject headings go directly into the subject cataloging workstream, since the descriptive cataloging is largely complete. Subject catalogers will create authority records, when lacking, for required headings at the time they are performing the subject work.

cataloged as a serial in LC, may be considered unauthenticated copy, even when no serial record exists at all.

These procedures are only intended to discuss copy cataloging procedures and do not replace other documentation in the Serial Record Manual. Refer to the M1._ documents for information regarding hours and statistics and the M2._ documents for information regarding necessary pre-searching, general workflow, and standard fields to be added to records (including local fields). The M25._ documents cover additional information about whole serial cataloging and subject cataloging.

Serials Copy Cataloging

A. Determining a Match

A.1. Examine the physical pieces in hand of the serial to be cataloged. Note the title (*exact wording is important here*), issuing bodies, ISSN (if present), place of publication, numbering, presence of supplements or special numbers, etc. Not all serials will have all these things.

A.2. Compare the pieces in hand with the information found on the OCLC record(s). If the same, accept the record and proceed with cataloging. If it is not an exact match but it still appears to be the same serial as is described by the OCLC record, accept the record without further editing except as is noted in the Table at the end of this procedure.

A.3. If it is determined that the OCLC record is not a match, re-search OCLC for a matching record. Refer records without matches to the appropriate original cataloging backlog.

Refer the following categories of problems to catalogers:

- Duplicate records found during searching
- Title changes represented by an unauthenticated record.
- Questions of serial versus monograph

B. Checking the Bibliographic Record

B.1. Check information in the bibliographic record. Compare with the pieces in hand and correct any incorrect data and any typographical errors. As an additional aid, the Table at the end of this procedure provides some specific guidelines on types of information to add or change.

Look at the fixed fields and make sure the coding here matches the piece. The allowable codes can be found in the section for the 008 field in the CONSER Editing Guide. Remember to forward Elvl 8 material to NSDP.

For the variable fields, look at:

- 022 field
- Fields beginning with the 1xx's through the 830 fields and compare them with the piece in hand. Also examine the "Latest issue consulted" note (i.e. the latest issue that was consulted by the institution last working on the OCLC record) in the 500 field. This note was formerly given in the 936 field with the "LIC" following the designation. If the note is still in the former 936 format and you are changing this field to reflect a more recent issue, update the field to the current 500 field format and terminology. Otherwise, leave as is.
- 245 field: Does the title as it is recorded in subfields a, n, and p of the OCLC record exactly match the title on the pieces? Provide access for title variants if they do not qualify as title changes and if they are considered important for future searching retrieval. If the title has changed and it is not represented by another CONSER OCLC record, in the appropriate original cataloging backlog.
- Determine if the 245 is a unique title against the ILS database; i.e. no other serial (including monographic series) has the same title. If not unique, and there is an existing uniform title on the OCLC record for the item to be cataloged, determine if that uniform title now makes the record unique? If not, ask the appropriate cataloger to set up the uniform title. The items will be returned to the technician after the uniform title has been set up.
- Check the 260 field. Are the publisher and place of publication are not the same, add the new information in a 500 note when not present.
- If an LC classification number coded as field 050 14 is present, verify that it matches at least one of the 6xx's on the record. If no 050 is present, search the subject headings in Minaret to see if a class number has been used for at least one of the subject headings which can then be used as a call number for the title in hand.

- Check for the presence of LCSH subject headings. These are 6xx fields with a second indicator of zero (e.g. 651 _0). Compare the headings against the 050 14 using Minaret to ensure that the class number appears to synchronize with the subject headings.
- If the 362 or Description based on notes are lacking, do not add these. This requires redescription!
- Look at the remaining fields to verify that the information is still correct. If the issuing body has a variant form on the piece from what is reflected in the heading and this form does not appear somewhere else in the description (for example: 260, 550 fields), search the authority file to ensure that this form appears on the authority record. If the variant form is missing from the authority record, write "NAR revision needed" on a printout of the authority record and place the package on the section's NAR/SAR shelf. The cataloging package will be returned after the authority work has been completed.
- If a series is present (440 or 490 + 830), check for a series authority record (SAR) in the ILS or OCLC. The treatment of the series as represented in the treatment fields (fields 644, 645 and 646) of the series authority record must be coded as f, t, and s [fully analyzed, traced, and classed separately] and |5 DLC must be present in these fields. If any other codes appear in these fields, circle the treatment codes and give to the appropriate cataloger or place in the appropriate backlog. If |5 DLC is not in the fields, place the package and a printout of the SAR on the section's NAR/SAR shelf. The cataloging package will be returned after the authority work has been completed.

B.2. Add to the record missing access points such as corporate bodies whose sole function is not merely as a publisher, series statements, variant titles, and notes which may assist with accurate identification of piece. For the last two categories, give careful consideration as to whether not adding the information might prevent access. If in doubt as to whether the information should be left out, leave it out.

B.3. All headings added should be established. Technicians who are adding a corporate body or series which lacks an authority record, should have the authority record established before authenticating the record.

C. Checking for Authority Work

C.1. Search all name, series and subject headings (including sub-elements) in the OCLC authority for an authority record.

C.2. If a heading lacks an authority record, refer to catalogers. The package should be returned to the technician when the authority work is completed.

D. Authenticating the Record

D.1. Assign an LCCN number to the record if not present. If there is an sc-prefixed LCCN in the record, technicians should give record to a professional cataloger for cancellation. After cancellation, assign a new LCCN and trace the cancelled LCCN in |z of the 010.

D.2. Add an 042 field and the appropriate code as follows:

- Add "lccopycat" to any record lacking this field.
- Add no code to fields containing code "lcd."
- Add code "lc" to 042 fields containing "nlc."
- If the existing field is coded "msc", follow the procedures in C above to get all authority work completed and change this field to "lcd."

D.3. Add the 050 field as follows, if not shelflisting the piece:

050 00 IN PROCESS

This 050 field should be the first 050 field in the record. (A record may contain more than one 050 field.) The proposed class number may be added in brackets following the "IN PROCESS" statement. If shelflisting and cataloging simultaneously, add the entire shelflisted class number to the 050 field.

N.B. For materials with a priority 4 slip inserted, do not classify or shelflist; instead, assign a WMLC number. Similarly, CDs and microforms receive special call numbers.

D.4. In the fixed field, change the Elvl to "5" if **not** shelflisting the piece at the same time; otherwise, change the Elvl to blank for full level material (subject headings present) or "7" for minimal level material (subject headings not present). Route all non-priority 4 titles lacking subject headings to the subject shelf. See further instructions in *section G below*.

D.5. Add an 850 field as follows:

850 DLC

If an 850 field already exists in the record, add "|a DLC" to this field so that it falls alphabetically within the other institutional codes listed.

E.g. 850 DLC |a MH-L

D.6. Validate, replace, and update the record as per normal procedures and use the preprocessor to migrate the record into Voyager.

D.7. Continue preparing the final record in Voyager as per the procedures in M2.2 and other relevant documentation in the Serial Record Manual.

D.8. Forward package: ➔ NSDP for assigning ISSN and key title, if appropriate. Remember to forward records with a 263 field directly to NSDP for ISSN work and copy cataloging work.

Special Types of Copy Cataloging

E. Mono-to-Serial Records

[Current policy under revision. To be added later.]

F. Cloning

[In development.]

K. Pattern Cataloging

[In development.]

L. NLM CONSER Records Without LCSH Headings

[In development.]